



ERA-MIN2

RESEARCH & INNOVATION PROGRAMME ON RAW MATERIALS
TO FOSTER CIRCULAR ECONOMY

ERA-MIN Joint Call 2017

RAW MATERIALS FOR SUSTAINABLE DEVELOPMENT
AND THE CIRCULAR ECONOMY

GUIDELINES FOR APPLICANTS

Link to [«ERA-MIN2 Calls»](#)

Link to the [Electronic Proposal Submission System](#)

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1. Definitions

Applicant: is a legal entity, represented by a lead researcher that forms a consortium at the stage of proposal submission.

Beneficiary: Beneficiary is a legal entity, represented by a lead researcher, member of a consortium selected for funding that receive financial support from the respective national/regional Funding Organisation.

Call: Refers to the ERA-MIN Joint Call 2017 to be published in February 1, 2017 which total budget is 15 million Euro including the EU contribution.

Call Steering Committee (CSC): It is composed of representatives of all ERA-MIN 2 partners who are Funding Organisations that have committed national/regional funds to support the selected R&I projects. It supervises the whole Call procedure and agrees on the final list of proposals recommended for funding. It supervises the activities of the Joint Call Secretariat.

Consortium: Group of legal entities, each represented by a lead researcher, that are part of a joint collaborative R&I project proposal submitted to the Call or a project selected for funding.

Coordinator: One partner of the consortium, represented by a lead researcher, who will be responsible for the internal scientific management of the project, reporting and intellectual property rights management and will represent the consortium externally and towards the JCS and CSC.

Funding Organisations: are partners of ERA-MIN 2, responsible for providing funding to the beneficiaries from the respective country/region. Participating Funding Organisations are indicated in the «Call Text».

Joint Call Secretariat (JCS): It is in charge of the operational implementation of the Call and the follow-up phase until the funded projects and all reporting requirements have ended. All submitted proposals are collected by the JCS, which makes them available to the CSC and the reviewers of the Scientific Evaluation Board. The JCS handles the communication with the applicants, reviewers, CSC and beneficiaries. The JCS is hosted by FCT (Foundation for Science and Technology), in Lisbon (Portugal) with the support of JUELICH (Germany).

Key personnel: is a team member person of an applicant or a beneficiary.

Lead researcher: is the main responsible person of a legal entity and is the contact point with the corresponding national/regional Funding Organisation.

Partners: legal entities, each represented by a lead researcher within a department or institute from universities, research organisations, companies, etc., forming a consortium.

Scientific Evaluation Board (SEB): Panel of internationally independent recognised scientific experts responsible for the quality assessment of the submitted proposals. SEB members will not submit or participate in proposals within this Call and must sign declarations of confidentiality and of conflict of interest.

2. Joint Call administration

The participating Funding Organisations are the ERA-MIN 2 partners that have agreed on three administrative structures to run the Call:

1. **Call Steering Committee (CSC)**, composed of the representatives from the Funding Organisations contributing financially to the Call;
2. **Joint Call Secretariat (JCS)**, composed of representatives from the Funding Organisations, coordinated by FCT and assisted by JUELICH, with the main task of implementing the Call;
3. **Scientific Evaluation Board (SEB)** composed of independent international experts selected to evaluate the pre-proposals and full-proposals submitted to the Call.

3. Call topics

The scope, objectives and expected impacts of each of the five main call topics are described in detail in the document «Call Text». The sub-topics supported by each Funding Organisation are provided in Appendix I.

4. Contact persons of the Funding Organisations

The representatives of the Funding Organisations will be the contact points in each of the countries and regions participating in the Call, and applicants are advised to contact them at an early stage during the pre-proposal preparation for information on the specific national/regional priorities, rules and regulations, using the contacts given in Table 1.

Table 1 – Contact persons of the Funding Organisations participating in the Call.

Country Region	Funding Organisation	Contact person (s)	E-mail (s)
Argentina	MINCYT	Agustina VELO, Monica SILENZI	avelo@mincyt.gob.ar msilenzi@mincyt.gob.ar
Belgium / Flanders	FWO	Olivier BOEHME, Toon MONBALIU	eranet@fwo.be
Belgium/ Flanders	Hermesfonds /VLAIO	Elsie De CLERCQ	elsie.declercq@vlaio.be
Brazil	Finep	Denise Cristiano REIGADA, Henrique VASQUEZ FÉTEIRA DO VALE	dreigada@finep.gov.br hvasquez@finep.gov.br
Chile	CONICYT	Pedro FIGUEROA	pfigueroa@conicyt.cl
Finland	Tekes	Kari KESKINEN	kari.keskinen@tekes.fi
France	ADEME	Rachel BAUDRY, Erwan AUTRET	rachel.baudry@ademe.fr erwan.autret@ademe.fr
France	ANR	Massimiliano PICCIANI	massimiliano.picciani@anr.fr
Germany	BMBF/ JUELICH	Holger GRÜNEWALD	h.gruenewald@fz-juelich.de
Ireland	GSI	Aoife BRAIDEN	Aoife.Braiden@gsi.ie



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Country Region	Funding Organisation	Contact person (s)	E-mail (s)
Italy	MIUR	Gaia BRENNNA, Aldo COVELLO	gaia.brenna@miur.it aldo.covello@miur.it
Poland	NCBR	Maria BOJANOWSKA-SOT	maria.bojanowska@ncbr.gov.pl
Portugal	FCT	Dina CARRILHO Marta NORTON	Dina.Carrilho@fct.pt Marta.Norton@fct.pt
Romania	UEFISCDI	Mihaela MANOLE	mihaela.manole@uefiscdi.ro
Slovenia	MIZS	Doroteja ZLOBEC	Doroteja.Zlobec@gov.si
South Africa	DST	Toto MATSHEDISO Ntombi MCHUBA	Toto.matshediso@dst.gov.za Ntombi.Mchuba@dst.gov.za
Spain	CDTI	Maria Jose TOMÁS	mariajose.tomas@cdti.es
Spain	MINECO	Severino FALCÓN Leonor GÓMEZ	severino.falcon@mineco.es era-mat@mineco.es
Spain / Castilla y León	ADE	Carmen VERDEJO REBOLLO Isabel GOBERNADO MITRE	VerRebCa@jcyl.es gobmitma@jcyl.es
Sweden	Vinnova	Susanne GYLESJÖ	susanne.gylesjo@vinnova.se
Turkey	TUBITAK	Mehmet Ufuk ATAY, Hanifi Eray KORKMAZ	ufuk.atay@tubitak.gov.tr eray.korkmaz@tubitak.gov.tr

5. The funding model

The Call is based on the existing RTD funding schemes or programmes in the field of non-energy, non-agricultural raw materials in the participating countries and regions. This means that each beneficiary in a proposal selected for funding under the Call on “*Raw materials for sustainable development and the circular economy*” will be funded by the Funding Organisation of their own country/region.

The total budget available for this Call is approximately € 15 million corresponding to the sum of national and regional public committed funds of the participating Funding Organisations and the co-funding of the European Commission (Table 2).

In addition to the rules for participation and funding set by the Call, each applicant requesting funding in a submitted proposal must also comply with the national /regional rules and regulations of the funding programme of their respective country or region (see National/Regional Funding Regulations document).

The final funding decisions are made by the participating Funding Organisations.





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Table 2 – Indicative funding commitments of the Funding Organisations participating in the Call.

Country/Region	Funding organisation	[EUR]
Argentina	MINCyT	100,000
Belgium / Flanders	FWO	150,000
Belgium /Flanders	Hermesfonds	1,000,000
Brazil	Finep	750,000
Chile	CONICYT	385,000
Finland	Tekes	1,000,000
France	ADEME	500,000
France	ANR	700,000
Germany	BMBF/JUELICH	2,000,000
Ireland	GSI	450,000
Italy	MIUR	140,000
Poland	NCBR	500,000
Portugal	FCT	500,000
Romania	UEFISCDI	600,000
Slovenia	MIZS	420,000
South Africa	DST	300,000
Spain	CDTI	530,000
Spain	MINECO	333,500
Spain / Castilla y León	ADE	350,000
Sweden	Vinnova	500,000
Turkey	TUBITAK	600,000

6. Eligibility criteria

The pre-proposals and full-proposals have to meet the following eligibility criteria, as defined by the CSC and detailed further below, as well as the national/regional funding regulations (see the respective document at the ERA-MIN 2 website):

- The pre-proposals must be submitted, only via electronic form through the ERA-MIN Electronic Submission System, by the lead researcher of the consortium coordinator no later than **5 May 2017 (Friday), at 17:00:00 CEST¹**;
- Each consortium must be composed of, at least, a minimum of two independent legal entities eligible to request funding from the Funding Organisations of, at least, two different EU Member States or Associated Countries participating in this Call;
- The coordinator and the lead researcher representing the coordinator of the consortium must be eligible for funding and must be established in a country or region participating in the Call;

¹ 17.00 CEST/Central European Summer Time





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- One person can only participate as lead researcher representing the coordinator in one proposal (i.e. if the lead researcher is the coordinator of a proposal, he/she can only participate in other proposals as lead researcher or as key personnel of a consortium partner);
- Researchers from the participating Funding Organisations cannot apply to this Call;
- The total efforts of partners from one country in a proposal cannot exceed 70% of the total project efforts (measured in person-months);
- At least half of the partners in a consortium must belong to countries participating in the Call;
- The language of the proposals is English;
- All fields of the pre-proposal and full-proposal technical descriptions must be filled in and the total length of the technical description cannot exceed a maximum of 6 pages for pre-proposal and 22 pages for full-proposal, excluding the financial plan, references and annexes;
- The project duration shall be a minimum of 12 months and shall not exceed 36 months, and be in accordance with the national/regional rules;
- Each applicant requesting funding must comply with the national/regional funding criteria and regulations of their respective funding organisation to ensure the eligibility of the consortium proposal (see table 3 and table 4);
- If applicable as per national or regional rules, all the necessary additional information/documents requested by the Funding Organisations (see the National/regional funding regulations document) must be sent to the contact person of the respective national/regional Funding Organisation according to their deadlines, no later than one week after the proposal submission deadline;
- All applicants requesting funding must provide a statement of commitment (Form B – Appendix VI), duly signed and stamped by the legal representative of the organisation and the lead researcher, as an annex of the pre-proposal);
- Applicants not requesting funding, or who are not eligible for national/regional funding can be partners of the consortium, on the condition that they provide evidence of the availability of their own funds to cover their costs by providing a signed declaration. An indicative template (Form C) is provided in Appendix VII;
- Upon invitation, the full-proposals must be submitted, only via electronic form through the ERA-MIN Electronic Submission System, by the coordinator of the consortium no later than **28 September 2017 (Thursday), at 17:00:00 CEST.**





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Table 3 – Eligible organisations for funding by the participating Funding Organisations.

Country/Region	Funding Organisation	Large Enterprises	Medium Enterprises	Small Enterprises	Universities and research organisations	Private non-profit organisations
Argentina	MINCYT		X	X	X	X
Belgium / Flanders	FWO				X	
Belgium /Flanders	Hermesfonds	X	X	X		
Brazil	Finep	X	X	X	X	X
Chile	CONICYT				X	X
Finland	Tekes	X	X	X	X	
France	ADEME	X	X	X	X	X
France	ANR	X	X	X	X	!
Germany	BMBF/JUELICH	X	X	X	X	X
Ireland	GSI	X	X	X	X	!
Italy	MIUR	X	X	X	X	X
Poland	NCBR	X	X	X	X	
Portugal	FCT	X	X	X	X	X
Romania	UEFISCDI	X	X	X	X	X
Slovenia	MIZS	X	X	X	X	X
South Africa	DST	X	X	X	X	X
Spain	CDTI	X	X	X		
Spain	MINECO				X	X
Spain / Castilla y León	ADE	X	X	X		
Sweden	Vinnova	X	X	X	X	X
Turkey	TUBITAK	X	X	X	X	X

x- means eligible organisation; ! - means that some restrictions apply. Check the corresponding national/regional regulations of the Funding Organisations.





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Table 4 – Type of research eligible for funding by the participating Funding Organisations.

Country/Region	Funding organisations	Fundamental /Basic Research	Industrial/Applied Research				Experimental development	
		TRL 1-3	TRL 4-5	TRL 5-6	TRL 6-7	TRL 7-8	TRL 8-9	
Argentina	MINCYT	X	X	X	X	X	X	
Belgium / Flanders	FWO	!						
Belgium /Flanders	Hermesfonds/ VLAIO	X	X	X	X	X	X	
Brazil	Finep	X	X	X	X	X	X	
Chile	CONICYT	X	X	X	X			
Finland	Tekes		X	X	X	X	X	
France	ADEME		X	X	X	!		
France	ANR	X	X					
Germany	BMBF/JUELICH		X	X	X	X	X	
Ireland	GSI	X	X	X	X	X	X	
Italy	MIUR	X	X	X	!	!		
Poland	NCBR		X	X	X	X	X	
Portugal	FCT	X	X	X	X	X		
Romania	UEFISCDI	X	X	X	X	X	X	
Slovenia	MIZS	X	X	!				
South Africa	DST	X	X	X	X	X	X	
Spain	CDTI	X	X	X	X	X	!	
Spain	MINECO	X	X	X				
Spain / Castilla y León	ADE		X	X	X			
Sweden	Vinnova	X	X	X	X	!		
Turkey	TUBITAK	X	X	X	X	X	X	

TRL – Technology Readiness level (definition in Appendix II)

x- eligible type of research; ! - some restrictions apply. Check the corresponding national/regional funding regulations of the Funding Organisations.

7. Recommendations for applicants

- The following documents should be carefully read:
 - «Call Text» - It includes the scope, objectives and expected impacts of the research topics and sub-topics of the Call and the topics covered by each Funding Organisation;





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- «National/regional Funding Regulations» - It includes the national/regional funding regulations of the participating Funding Organisations, namely the eligible organisations for funding, eligible costs, eligible type of research and the funding rates;
 - «Guidelines for Applicants» - It includes the procedures to follow in order to submit the pre-proposals and the full-proposals, the proposals templates, the eligibility criteria, the scientific evaluation procedures, the evaluation criteria and monitoring and reporting procedures for the funded projects;
- One (and only one) coordinator, represented by a lead researcher, has to be nominated among the partners to represent the consortium;
 - The coordinator should register in advance in the [ERA-MIN Electronic Proposal Submission System \(http://www.submission-era-min.eu/\)](http://www.submission-era-min.eu/);
 - The applicants are encouraged to prepare the pre-proposal and the full-proposal in advance;
 - The applicants are encouraged to register all required data in the Electronic Proposal Submission System, taking into account that the system may be overloaded on the deadline date;
 - The applicants have to make sure that their proposal falls into the scope and the topics of the Call (read the topics and sub-topics of the call on the «Call Text»). A proposal may cover more than one of the topics and sub-topics;
 - The ERA MIN 2 consortium is aiming to reduce the disparities and level up innovation performance of raw materials between the countries participating in this Call, and thus it encourages cooperation beyond the EU Member States or Associated Countries. In this line, the involvement of applicants from the third countries participating in the Call, namely, Argentina, Brazil, Chile and South Africa) is highly desirable;
 - More than two partners from more than two countries forming a consortium are encouraged to apply;
 - The consortium size should be suitable for the level and complexity of the project and each partner should have a significant contribution for the transnational added value of collaboration;
 - Large, medium and small-size companies are particularly encouraged to apply;
 - The proposal should clearly identify the specific contribution of each partner in the consortium and the added value of working together;
 - The applicants have to make sure that their proposal fulfils the Call eligibility criteria, as well as the national/regional eligibility criteria;
 - Well in advance of submitting an application, **every partner must contact the local contact point of their country/region** and confirm with their respective Funding Organisation that the national/regional funding criteria and regulations are met. **If required, national/regional submission forms or documents** should be submitted to the respective Funding Organisation within the specified deadline, no later than one week after the proposal submission deadline;
 - The pre-proposal has to be submitted via the [ERA-MIN Electronic Proposal Submission System \(http://www.submission-era-min.eu/\)](http://www.submission-era-min.eu/) not later than **5 May 2017, at 17:00:00 CEST** by the coordinator.



- As to the «Technical description of the proposal», the same font and style should be used (**Times New Roman or Calibri, 11pt, single spaced; the template's margins of the page should be kept**) and a maximum of 6 pages and 22 pages for pre-proposal and full-proposal, respectively, should be respected, excluding the financial plan, references and annexes.
- The expected size of a proposal in terms of total funding is typically in the range of 0.3 to 1.5 million Euro.
- In order to find potential partners to build a consortium, a web-based partner search tool has been set up by the NCPs-CaRE. This tool is available on the NCPs-CaRE website (<http://partnersearch.ncps-care.eu/>).

8. Call procedures: submission; evaluation, selection, funding and reporting

The CSC and the JCS will take all lawful steps to ensure confidentiality of information and documents obtained during the submission, evaluation and selection procedures of the Call.

8.1. Proposal submission

There will be a two-stage submission procedure: pre-proposals and full proposals.

A joint transnational proposal (pre-proposal) shall be prepared in English by the consortium and submitted via the ERA-MIN Electronic Proposal Submission System by the lead researcher representing the coordinator. The pre-proposal submission is mandatory and must be submitted no later than **5 May, 2017 (Friday) at 17:00:00 CEST**.

If required by the national/regional regulations, the submission forms, or documents, must be submitted directly to the participating Funding Organisations according with their deadlines, no later than one week after the proposal submission deadline. Please consult the respective local contact point of the Funding Organisations (section 4) for further details.

Full proposals must be submitted by the coordinator in electronic format no later than **28 September 2017 (Thursday), at 17:00:00 CEST**. Full proposals will be accepted only from those applicants explicitly invited by the JCS to submit them.

A revision of the overall application is allowed under certain conditions after the pre-proposal stage. In any case, all changes from pre- to full-proposal have to be coordinated with all involved Funding Organisations by the coordinator. As some Funding Organisations do not allow changes, partners should be advised to check the national/regional funding regulations document to see if their respective Funding Organisation allows changes between the pre- and full-proposal stage.



8.1.1. Registration

The coordinator² (Partner 1), who will represent the consortium, will have to register at the [ERA-MIN Electronic Proposal Submission System](http://www.submission-era-min.eu/) (<http://www.submission-era-min.eu/>) before submitting a pre-proposal. Once registered, the coordinator will receive a registration email.

The coordinator will need to register the partners of the consortium. After registration, all the partners will receive an email to activate their account. With his/her account, each partner will enter his/her own profile.

8.1.2. Proposal form

The pre-proposal form (Appendix III and IV) and full proposal form (Appendix V) must be filled by the coordinator, with the exception of the partner's profiles.

The proposals must be written in English and submitted via the [ERA-MIN Electronic Proposal Submission System](http://www.submission-era-min.eu/) (<http://www.submission-era-min.eu/>).

Signed Statement of Commitments from all consortium coordinator/partner requesting funding (Form B- Appendix VI) and Declarations of own funding (Form C- Appendix VII) from partners not requesting funding have to be included as annexes to the pre-proposal. The coordinator has the duty to ensure that Form B and Form C are signed in due time. Resubmitting the pre-proposal/full-proposal before the submission deadline is possible.

8.2 Evaluation procedures

The evaluation procedures are designed to identify the best proposals in terms of scientific excellence, impact, quality and efficiency on the implementation, as thoroughly and accurately as possible; and to undertake the assessment in a fair, transparent and homogeneous way for all proposals submitted to the Call.

The quality assessment of the submitted proposals will be performed by the SEB composed of international independent expert reviewers.

Stage 1 assessment of pre-proposals will be carried out at a Call level by the JCS, at a national /regional level by the CSC and at an international scientific peer-review by the SEB. Stage 2 assessments of full proposals will be conducted by a panel of, at least, three independent experts that sign Declarations of Confidentiality and Conflict of Interest. The evaluation process will be monitored by an independent observer who will prepare a report on the assessment process for the European Commission.

² The coordinator (partner 1) will be responsible for running and managing the project. The lead researcher representing the coordinator will be the contact point with ERA-MIN 2 Joint Call Secretariat on behalf of the whole consortium and will be responsible for the administrative management of the complete project, should it be awarded funding. In addition, the lead researcher is responsible for leading the project activities at his/her own organisation. The coordinator must be eligible for funding.

8.2.1. Evaluation stage 1: Pre-Proposals

The submitted pre-proposals will be subject to an eligibility check performed by the JCS and by the CSC to confirm compliance with national/regional priorities, rules and regulations. In parallel, scientific assessments of pre-proposals will be remotely performed by the SEB.

All eligible pre-proposals that meet the Call eligibility criteria will be allocated to three designated experts of the SEB according to their expertise relevant for the topic of the pre-proposal. Pre-proposals will be assessed based on the three main evaluation criteria: 1) Scientific Excellence; 2) Impact and 3) Quality and Efficiency of the Implementation. A ranked list of pre-proposals will be produced based on the final scores.

The selection of pre-proposals for the stage 2 will be decided at a CSC consensus meeting to finalise the stage 1 pre-proposal assessment. A list of projects of high quality will be invited to submit a full proposal for Stage 2.

8.2.2. Evaluation stage 2: Full-Proposals

The submitted full-proposals will be subject to an eligibility check performed by the JCS and by the CSC to confirm compliance with national/regional priorities, rules and regulations before the start of the international independent peer-review evaluation process.

Full Proposals will be evaluated based on three main evaluation criteria: 1) Scientific Excellence, 2) Impact and 3) Quality and Efficiency of the Implementation.

8.2.3 Evaluation Criteria, scoring system and thresholds

The evaluation of proposals is based on the following three main evaluation criteria and sub-criteria:

Criterion 1. SCIENTIFIC EXCELLENCE

- 1.1. Clarity and pertinence of the objectives;
- 1.2. Soundness of the concept, and credibility of the proposed methodology;
- 1.3. Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models);
- 1.4. Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge (**only for stage 2**);

Criterion 2. IMPACT

- 2.1. The extent to which the outputs of the project would contribute at the European and/or International level to the expected impacts mentioned in the work programme under the relevant topic;
- 2.2. Any substantial impacts not mentioned in the work programme, that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, address issues related to barriers/obstacles, and any framework conditions such as regulation, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain, or bring other important benefits for society (**only for stage 2**);



- 2.3 Quality of the proposed measures to exploit and disseminate the project results (including management of IPR), and to manage research data where relevant (**only for stage 2**);
- 2.4. Quality of the proposed measures to communicate the project activities to different target audiences (**only for stage 2**);
- 2.5 Support the development of technological solutions and services for the implementation of the Strategic Implementation Plan of the European Innovation Partnership on Raw Materials.

Criterion 3. QUALITY AND EFFICIENCY OF THE IMPLEMENTATION

- 3.1. Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables (**only for stage 2**);
- 3.2. Appropriateness of the management structures and procedures, including risk and innovation management (**only for stage 2**);
- 3.3. Quality and complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise;
- 3.4. Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role (**only for stage 2**).

Evaluation scores will be awarded to the three main evaluation criteria and not for the different sub-criteria. Each main evaluation criterion is rated using the 0-5 scale (half-points are not allowed):

- 0** — The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information (unless the result of an ‘obvious clerical error’)
- 1— Poor:** the criterion is inadequately addressed or there are serious inherent weaknesses
- 2—Fair:** the proposal broadly addresses the criterion but there are significant weaknesses
- 3—Good:** the proposal addresses the criterion well but with a number of shortcomings
- 4—Very good:** the proposal addresses the criterion very well but with a small number of shortcomings
- 5—Excellent:** the proposal successfully addresses all relevant aspects of the criterion; any shortcomings are minor.

Each criterion will be scored out of 5 and the threshold for individual criterion will be 3.

For the evaluation of pre-proposals the three main evaluation criteria will apply but with fewer sub-criteria (those indicated as “only for stage 2” will NOT be considered).

For each pre-proposal assessment, the overall rating (0-15) will be the sum of the individual criterion scores. The overall threshold for pre-proposals will be 9.

The coordinators will receive the results of the pre-proposal assessment including the peer-review reports and will be able to address the evaluators’ questions in the full-proposals.

For each full-proposal, the overall rating (0-15) will be the sum of the individual criterion scores. The overall threshold for full-proposals, applying to the sum of the three individual scores, will be 10.

At the SEB meeting, a ranking list will be established for eligible full proposals with overall rating at, or above, 10 and with all the main evaluation criterion scores at, or above, 3. Proposals not meeting the thresholds will not be recommended for funding by the SEB.

8.3. Selection procedures and feedback to applicants

The CSC will strive to ensure that the top-ranked full-proposals are funded to the maximum extent possible. The selection of full-proposals will be based on the ranking list of eligible full-proposals provided by the SEB meeting and the available national/regional budgets until exhaustion of public funds (EU contribution included). A CSC consensus meeting will be organised to finalise Stage 2 and to elaborate the “joint selection list” of projects recommended for funding.

All coordinators will receive feedback on the results of the evaluation process after both Stage 1 and Stage 2, including the Evaluation Summary Reports. The coordinators will be instructed to communicate the decisions to the consortium partners.

8.4. Funding decisions and consortium agreement

8.4.1. Funding decisions and start of projects

For proposals recommended for funding, the partners will be asked to contact the respective Funding Organisation for further instructions regarding national/regional internal procedures. The negotiation phase is carried out following the usual rules of each Funding Organisation, amended by special procedures for the Call.

Funding Organisation’s representatives shall outline the timing of their internal procedures to ensure that all beneficiaries of one project can begin with the research project at the same point in time.

The beneficiaries of successful collaborative projects will be funded directly by the respective national or regional Funding Organisation. The funding rate within the Call will be variable according to national/regional rules. Eligible costs may vary according to the corresponding national/regional regulations of the respective funding organisation.

Thus, each beneficiary will have a separate funding contract/letter of grant according to national/regional regulations with the appropriate national/regional Funding Organisation. The JCS will ensure that the partners of each project selected for funding enter into an appropriate grant with their relevant national/regional Funding Organisation.

Changes to the composition of research consortia or to the budget cannot occur during the contract/letter of grant, unless there is an appropriate justification. The beneficiaries shall inform the JCS and the Funding Organisations of that project of any event that might affect the implementation of the project.

The partners of the projects selected for funding must fix a common project start date, which will be the reference date for annual and final reports. It is expected that grant negotiations may take up to 3-4 months after the notification of results. The latest starting date is **1st May 2018**. All funded projects must be

completed and reported back within the lifetime of the ERA-MIN 2, at least 6 months before the end of ERA-MIN 2 (November 2021).

The list of funded projects will be published on the ERA-MIN 2 website and on the websites of the participating Funding Organisations.

8.4.2. Consortium Agreement

The beneficiaries of a project selected for funding must sign a Consortium Agreement (CA) for cooperation, preferably before the official project start date but no later than six months after the official project start date, considering that some Funding Organisations cannot conclude the grant agreements without a signed CA. Each Funding Organisation will indicate when they expect the CA and how to submit it. A copy of the duly signed CA should be sent to the Funding Organisations.

The purpose of the CA is to ensure a well-functioning research collaboration and protection of partners' rights and obligations. Moreover, the CA should provide for a decision making process to deal with all relevant issues during the project lifetime. Models of CA are available (<http://www.desca-2020.eu/>). Nevertheless, the consortium is free to define its own CA subject to applicable legal and regulatory provisions. For guidance, the following items are usually addressed in a CA:

- Purpose of and definitions used in the CA;
- Common start date of the research project;
- Project structure and project management;
- Detailed identification of partners' contributions (financial contributions, Intellectual Property Rights' constitutions, personnel, etc.);
- Role and responsibilities of the project coordinator and the partners among themselves (e.g.; a proper communication and transmission of information within the project consortium) and towards the Funding Organisations and the European Commission, if applicable;
- Decision making process within the consortium properly reflecting the weight of each partner in the consortium (i.e., at proportion of partners' respective contributions);
- Resources and funding (e.g., each partner is responsible of the use of its own funding and must inform officially the whole consortium of resources difficulties in driving the work);
- Confidentiality and the rules for publishing (e.g., priority to patents as a first option and then requirement of a consortium decision before publication; mandatory information of all the partners before any kind of external communication. Decision to take by the consortium regarding the list of names as authors of the publication (all the names or solely the direct contributors);
- Management of Intellectual Property Rights (IPR): identification of pre-existing IPR/Background; allocation of IPR and access to IPR among partners at proportion of their respective contributions;
- Handling of internal disputes;
- The liabilities of the project partners.



The national/regional Funding Organisations shall have the right to use documents, information and results submitted by the research partners and/or to use the information and results according to their national/regional rules on IPR.

8.5. Monitoring and reporting procedures

Monitoring procedures will verify that all allocated resources are timely deployed to the research teams and by providing up-to-date progress information that can be used for administrative actions and strategic planning. ERA-MIN 2 will implement a low-effort online monitoring system as a common data base of funded projects for: (i) interim progress updates (monitoring of performance): a real-time resource-efficient monitoring of annual progress and proper performance of running projects; (ii) monitoring of successful completion by questionnaire.

On behalf of the consortium, the coordinators of the funded projects will submit annual and final reports to the JCS, in English, that contains information on scientific and administrative aspects. In addition, each beneficiary in a selected funded project must report to their respective national/regional funding organisation, according to their administrative funding rules. The beneficiaries are instructed to immediately contact the coordinator, the Funding Organisations involved and the JCS with any contingency that may arise.

This data base respects appropriate and secure use of material and data according to the application of common standards, following the guidelines on data management in Horizon 2020. The collected data will require a prior informed consent, will be protected and secured, in order to avoid a malevolent use of it.

The mid-term scientific evaluation exercise of funded projects will be based on the annual project reports and presentations made by the coordinators at the mid-term Seminar with the participation of the CSC members and invited stakeholders. As a result, the CSC may propose the continuation, the re-organisation or the suspension of the research project activities. Accordingly, travel expenses to attend this Seminar and the final Seminar should be included in the proposal budget plans, if eligible for the Funding Organisations.

The final scientific evaluation of funded projects will be organised under the ERA-MIN 2 Final Conference based on the final project reports and presentations made by the coordinators.

The final assessment results will be made available on the ERA-MIN 2 website and a wider dissemination through other relevant means will be carried out.

The representative of the coordinator should attend a minimum of two meetings organised by ERA-MIN 2 (mid-term and final seminars). In addition, the beneficiaries are expected to participate and contribute to any communication activity initiated by ERA-MIN 2 in the funding period and beyond.

Beneficiaries must ensure that all project publications, etc. include a proper acknowledgement to ERA-MIN 2, the European Commission, and the respective Funding Organisation.



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9. Open Access and Open Data

The optimisation of the impact of publicly-funded scientific research is of fundamental importance to improve conditions to i) minimise the time spent searching for information and accessing it, ii) be able to speed up scientific progress, and iii) make it easier to cooperate across and beyond the European Union.

Open Access recommendations for all scientific publications produced by the funded projects will support *Green Open Access* (immediate or delayed open access provided through self-archiving), and/or *Gold Open Access* (immediate open access provided by a publisher) only depending on cost eligibility. In the case of *Green Open Access*, partners will (as soon as possible and at the latest on publication) deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications. In addition, partners will ensure open access to the deposited publication and bibliographic metadata.

In relation to Open Data, the funded projects will be recommended to submit metadata on all the data resources directly generated by the project on the Raw Material Information System (RMIS) of JRC, as well as additional information on how these data will be exploited, if and how data will be made accessible for verification and re-use, and how it will be curated and preserved. Metadata and additional information will be made publicly available via the ERA-MIN website. The Contact Point on Open Access and Open Data will be disseminated on ERA-MIN website, alongside specific information and procedures to follow.

10. Call Calendar

Call pre-announcement	1 December 2016
Publication of the Call	1 February 2017
Deadline for Pre-proposal submission (mandatory)	5 May 2017
Communication of pre-proposal assessment	10 July 2017
Deadline for Full Proposal submission	28 September 2017
Communication of full-proposal assessment	15 January 2018
Latest starting date of selected projects	1 May 2018



APPENDIX I - Sub-topics supported by the Funding Organisations

Topics		Argentina MINCYT	Belgium/Flanders FWO	Belgium/Flanders Hermesfonds	Brazil Finep	Chile CONICYT	Finland Tekes	France ADEME	France ANR	Germany BMBF/Julich	Ireland GSI	Italy MIUR	Poland NCBR	Portugal FCT	Romania UEFISCDI	Slovenia MIZS	South Africa DST	Spain CDTI	Spain MINECO	Spain/Castilla y Léon ADE	Sweden Vinnova	Turkey TUBITAK
1.1	Exploration	X	X	X	X	X	X		X	X	X*	X	X	X	X	X	X	X	X	X	X	X
1.2	Mining operations		X	X	X	X	X			X	X*	X	X	X	X	X	X	X	X	X	X	X
1.3	Mine closure and reclamation		X	X	X	X	X		X		X	X	X	X	X	X	X	X	X	X	X	X
2.1	Product design for increased raw material efficiency	X	X	X	X		X	X	X	X	X*	X	X	X	X	X	X	X	X	X	X	X
2.2	Product design for reuse or extended durability of products	X	X	X	X		X	X	X	X	X*	X	X	X	X	X		X	X	X	X	X
2.3	Product design to promote recycling	X	X	X	X		X	X	X	X	X*	X	X	X	X	X		X	X	X	X	X
2.4	Product design for critical materials substitution		X	X	X		X	X	X	X	X*	X	X	X	X	X		X	X	X	X	X
3.1	Increase resource efficiency in resource intensive production processes	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
3.2	Increase resource efficiency through recycling of residues or remanufacturing	X	X	X	X		X	X	X	X	X	X	X	X	X	X		X	X	X	X	X
3.3	Increase resource efficiency using ICT		X	X	X		X	X	X	X		X	X	X	X	X	X	X	X	X	X	X
4.1	End-of-life products collection and logistics	X	X	X	X		X	X	X	X		X	X	X	X	X		X	X	X	X	X
4.2	End-of-life products pre-processing		X	X	X		X	X	X	X	X	X	X	X	X	X		X	X	X	X	X
4.3	Recovery of raw materials from End-of-life products	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4.4	Increase recycling of End-of-Life products through ICT		X	X	X		X	X	X	X		X	X	X	X	X		X	X	X	X	X
5.1	New business models		X		X	X	X	X		X		X		X	X	X	X				X	X
5.2	Improvement of methods or data for environmental impact assessment		X		X	X	X	X		X	X	X		X	X	X	X				X	X
5.3	Social acceptance and trust/public perception of raw materials		X		X	X	X	X		X	X	X		X	X	X	X				X	X

x* - Dependant on funding requested.

APPENDIX II - Technology Readiness Level (TRL) H2020 definition

TRL 1 – basic principles observed

TRL 2 – technology concept formulated

TRL 3 – experimental proof of concept

TRL 4 – technology validated in lab

TRL 5 – technology validated in relevant environment

TRL 6 – technology demonstrated in relevant environment

TRL 7 – system prototype demonstration in operational environment

TRL 8 – system complete and qualified

TRL 9 – actual system proven in operational environment



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APPENDIX III - Online proposal and partners data

To be filled online in the available fields in the [ERA-MIN Electronic Proposal Submission System \(http://www.submission-era-min.eu/\)](http://www.submission-era-min.eu/).

The coordinator registers at the ERA-MIN Electronic Proposal Submission System and receives a registration e-mail with login details.

The coordinator adds new partners (name/loginname/e-mail address) to the consortium. The partners will receive a notification e-mail to login and complete their profile.

a) Proposal data/abstract/publishable abstract/keywords - *to be completed via ESS*

Proposal full title	
Proposal acronym/short name	
Start date ³ (month/ year)	
End date (month/ year)	
Project duration in months	
Topic and sub-topic ⁴	The drop-down menu will allow selection of one main topic of the proposal and one, or more sub-topics.
Supplementary key words	(max. 5)
Abstract (mandatory):	(Describe briefly the background, objectives, needs addressed, methodology, work planning, stakeholder involvement and expected impact of outcomes and potential benefits and suggested collaborative project; max. 4000 characters)
Publishable abstract (mandatory):	(Describe briefly the background, objectives, needs addressed, methodology, work planning, stakeholder involvement and expected impact of outcomes and potential benefits and suggested collaborative project; max. 2000 characters)

b) Coordinator/partner profile- *to be completed via ESS*

Lead researcher name (Title/First name, Family)		E-mail:	
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³ Before completing, each partner should inquire the respective Funding Organisation.

⁴ Select the main topic addressed by the proposal and one, or more, sub-topics.





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name)			
Status of the organisation ⁵		website	
Name of the organisation			
Department		Country/region (Funding organisation)	
Address		Phone number Mobile Phone number Fax number	
Tasks	Please describe your task(s) in this project. This field is required. The maximum length is 500 characters.		
Upload curriculum vitae	(max. 2 pages/person; max. 3 persons (in one pdf); max. 2 MB, PDF file format)		
Declaration 1 National/regional regulations	<input type="checkbox"/> I am aware of the national/regional funding regulations (see Guidelines for Applicants).		
Declaration 2	In case of recommendation for funding, I hereby authorize the ERA-MIN Joint Call Secretariat to publish the information provided in the publishable abstract as well as the consortium partner organisations. I agree that the coordinator contact person details (name and e-mail address) will be published. <input type="checkbox"/> yes		

⁵ UNI-university; PRO-Private Research Organisation; PUB-Public Research Organisation; SME-Small medium enterprise; IND-large enterprises; CO-consultancy; OTH-Others.





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c) Financial plan – to be completed via ESS

REQUESTED FUNDING (in EUR)

Organisation name	Personnel	Travel	Consumables /Equipment	Subcontracts	Other	Requested funding	Total own contribution
Partner 1							
Overhead (Partner 1)							
Partner 2							
Overhead (Partner 2)							
Partner N							
Overhead (Partner N)							
TOTAL							

OWN CONTRIBUTION (in EUR)

Organisation name	Personnel	Travel	Consumables /Equipment	Subcontracts	Other	Total own contribution
Partner 1						
Partner 2						
Partner N						
TOTAL						

d) Financial comments

Please provide a brief description to justify the requested funding, considering the national/regional funding regulations⁶.

It is mandatory to indicate the number of person-months dedicated by each partner to the project in the category “personnel”.

⁶ Read the call document “National/regional funding regulations”.





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Organisation name	Personnel (indicate person-months)	Travel	Consumables/ Equipment	Subcontracts	Other
Partner 1					
Partner 2					
Partner N					

Appendix IV - Technical description of the pre-proposal (FORM A)

(to be completed on the ESS)

Provide a detailed technical description of the pre-proposal (sections 1-3), jointly filled in by all partners (max. 6 pages A4).

You have the opportunity to upload up to 5 images (Max file size: 600px x 600px, 2Mbyte; allowed formats are jpg, png or gif).

Section	Requested technical description of the pre-proposal	Maximum characters allowed
1. Scientific and/or technological excellence		
1.1.	Objectives with detailed account of their relationship to the call topic and expected impact	4000
1.2.	Research methodology and approach, highlighting the type of research and innovation activities proposed	4000
1.3	Current state of art and progress beyond the state-of-the-art; originality and/or innovation of the concept and approach (indicate start and target TRL ⁷ , if applicable)	4000
2. Impact		
2.1.	Expected outcomes and expected impacts (contribution to the expected impacts of the relevant topic and sub-topic at European and/or international level;	4000
2.2.	Contribution for the implementation of the Strategic Implementation Plan of the European Innovation Partnership on Raw Materials.	4000
3. Quality and efficiency of the implementation		

⁷ TRL – Technology Readiness Level. H2020 definition available in Appendix II.





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Section	Requested technical description of the pre-proposal	Maximum characters allowed
3.1	Describe the expertise of partners and their complementarity for the expertise of the consortium as a whole (including distribution of tasks and efforts between partners)	4000
	Reference	4000

Please upload one pdf (max. 10 MB) with the following attachments:

- Annex 2 - statement of commitment from each partner requesting funding signed by the lead researcher and the legal representative of the organisation (**Form B**);
- Annex 3 - statement of own funding signed by the lead researcher and the legal representative of the organisation (**Form C**) only in the case of partners not requesting funding.

The current state of the submitted data can be downloaded by click on “Factsheet”.

The missing data is indicated when you click on “Validation” in the left side navigation of the ESS.

Only when all mandatory fields are completed, you are able to click on “Submit”, which completes the submission of the application.

Appendix V - Technical description of the full-proposal (FORM A)

(to be completed on the ESS)

- Provide a detailed technical description of the full-proposal (sections 1-5), jointly filled in by all partners (**max. 22 pages A4**).

Section	Requested technical description of the full-proposal	Maximum characters allowed
1. Scientific and/or technological excellence		
1.1.	Objectives with detailed account of their relationship to the call topic and expected impact	4000
1.2.	Research methodology and approach, highlighting the type of research and innovation activities proposed	4000
1.3	Current state of art and progress beyond the state-of-the-art; originality and/or innovation of the concept and approach (indicate start and target TRL ⁸ , if applicable)	8000
1.4.	Consideration of interdisciplinary approaches and, where	4000

⁸ TRL – Technology Readiness Level. H2020 definition available in Appendix II.





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Section	Requested technical description of the full-proposal	Maximum characters allowed
	relevant, use of stakeholder knowledge	
2. Impact		
2.1.	Expected outcomes and expected impacts (contribution to the expected impacts at European and/or international level of the relevant topic and sub-topic; any substantial impacts that would enhance innovation capacity; any barriers/obstacles, and any framework conditions such as regulation, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain, that may determine whether and to what extent the expected impacts will be achieved)	8000
2.2.	Proposed measures for exploitation, dissemination and communication of project activities and expected outcomes	8000
2.3	Contribution for the implementation of the Strategic Implementation Plan of the European Innovation Partnership on Raw Materials.	4000
2.4	Consortium agreement principles (describe partners' rights and duties, conflict solving, position with regard to intellectual property rights (IPR) management)	4000
3. Quality and efficiency of the implementation		
3.1	Detailed work plan description, including work package objectives and description, list of deliverables and list of milestones	28000
3.2.	Description of project management structures and procedures, including risk and innovation management	4000
3.3	Describe the expertise of partners and their complementarity for the expertise of the consortium as a whole (including distribution of tasks and efforts between partners)	4000
	References	4000
	Ethical issues (complete the ethics issues table)	-





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For Section 3.1 (Detailed work description) please use the tables below:

Work package (WP) No.	Title	Leader	Type of activity ⁹	Description
1				
2				
3				
4				
5				
N				

(Use as many lines as needed)

Deliverables

WP no.	No.	Title	Due month
1			
2			
3			
4			
5			
N			

(Use as many lines as needed)

Milestones

WP no.	No.	Title	Due month
1			
2			
3			
4			

⁹ Indicate one of the following: BR (Fundamental/Basic Research); AR (Industrial/Applied Research); ED (Experimental development); MGT (Management) or OTH (Other).





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5			
N			

(Use as many lines as needed)

Estimated person months per work package

WP	Partner 1	Partner 2	Partner 3	Partner 4	Partner 5	Partner N	Total
WP 1							
WP N							
Total							

Full-Proposal includes H2020 “Ethics issues table” that must be filled in with yes/no. Applicants should always describe any relevant ethical aspects in their research plans. If a research permit or a statement by an ethics committee is required for the implementation of the project, applicants shall provide information on the permits or permit proposals. In case ethical issues apply (applicants mark respective issues in the table) ERA-MIN 2 recommends that the national/regional organisations observe these issues (e.g. post-evaluation review) for their respective funded projects.

Ethics issues table

ETHICS ISSUES	YES	PAGE
1.HUMAN EMBRYOS/FOETUSES		
Does your research involve Human Embryonic Stem Cells (hESCs)?		
Does your research involve the use of human embryos?		
Does your research involve the use of human foetal tissues / cells?		
2.HUMANS		
Does your research involve human participants?		
Does your research involve physical interventions on the study participants?		
Does it involve invasive techniques?		
3.HUMAN CELLS / TISSUES		
Does your research involve human cells or tissues? If your research involves human embryos/foetuses, please also complete the section “Human Embryos/Foetuses” [Box 1].		
4.PROTECTION OF PERSONAL DATA		
Does your research involve personal data collection and/or processing?		
Does your research involve further processing of previously collected personal		





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ETHICS ISSUES	YES	PAGE
data (secondary use)?		
5.ANIMALS		
Does your research involve animals?		
6.NON-EU COUNTRIES		
Does your research involve non-EU countries?		
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?		
Do you plan to import any material - including personal data - from non-EU countries into the EU? If you consider importing data, please also complete the section "Protection of Personal Data" [Box 4].		
Do you plan to export any material - including personal data - from the EU to non-EU countries? If you consider exporting data, please also complete the section "Protection of Personal Data" [Box 4].		
If your research involves low and/or lower middle income countries, are benefits-sharing measures foreseen?		
Could the situation in the country put the individuals taking part in the research at risk?		
7.ENVIRONMENT PROTECTION		
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?		
Does your research deal with endangered fauna and/or flora and/or protected areas?		
Does your research involve the use of elements that may cause harm to humans, including research staff?		
8.DUAL USE		
Does your research have the potential for military applications?		
9.MISUSE		
Does your research have the potential for malevolent/criminal/terrorist abuse?		
10.OTHER ETHICS ISSUES		
Are there any other ethics issues that should be taken into consideration? Please specify		
I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		





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Please upload one pdf (max. 10 MB) with the following attachments:

- Annex 2 - statement of commitment from each partner requesting funding signed by the lead researcher and the legal representative of the organisation (Form B);
- Annex 3 - statement of own funding signed by the lead researcher and the legal representative of the organisation (Form C) only in the case of partners not requesting funding.

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Appendix VI - Statement of commitment (FORM B)

Logo of the partner's organisation

Statement of commitment

As the legal representative of the Organization (*name/country*) I support the submission of the transnational proposal (*title/acronym*) to the **ERA-MIN Joint Call 2017 on Raw Materials for Sustainable Development and the Circular Economy**, providing the essential conditions for the implementation of the project, according to the work programme presented.

As Lead Researcher¹⁰ (*name/position*), of the Department (*name*), I am aware of the ERA-MIN Call Text, the procedures and the national/regional rules and regulations, and confirm that the proposal fulfils our national/regional eligibility criteria in order to be eligible for the ERA-MIN Joint Call 2017.

In addition, the national/regional contact point (*name*) of the funding organisation (*name/acronym*) have been contacted on the national/regional eligibility rules and funding regulations.

Place, Date

(Name of the legal representative of the Organisation)

(Signature of the legal representative of the Organisation)

(Name of the Lead Researcher)

(Signature of the Lead Researcher)

¹⁰ Lead researcher: the main responsible person of a legal entity who is the contact point with the corresponding national/regional Funding Organisation.





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Appendix VII – Declaration of own funding (FORM C)

Logo of the partner's organisation

Declaration of own funding

As the legal representative of the Organisation (*name/country*), I state that the financial support is guaranteed to the Organisation (*name/country*) to participate as a partner in the transnational RTD proposal (*title/acronym*), coordinated by (*name/organisation/ country*) and submitted to the **ERAMIN Joint Call 2017 on Raw Materials for Sustainable Development and the Circular Economy**.

The Lead researcher in charge is (*name/position*) and is part of the Department (*name*).

Place, Date

(Name of the legal representative of the Organisation)

(Name of the Lead researcher)

(Signature of the legal representative of the Organisation)

(Signature of the Lead researcher)

